

## **Element Performance Inspection (EPI) Data Collection Tool 1.3.4 Required Inspection Items (RII) (AW)**

### ***ELEMENT SUMMARY INFORMATION***

**Purpose of This Element** (Certificate Holder's responsibility):

- To provide policy, procedures, instructions and information in the manual which allows personnel concerned with the Required Inspection Item (RII) process to perform their duties and responsibilities to a high degree of safety.

**Objective** (FAA oversight responsibility):

- To determine if the Certificate Holder follows its procedures, controls, process measurements and interfaces for the Required Inspection Items (RII) process.
- To determine if there were any changes in the personnel identified by the Certificate Holder as having responsibility and/or authority for the Required Inspections Items process.

**Specific Instructions:**

- Intentionally left blank

**Related EPI(s):**

- 1.1.1 Aircraft Airworthiness (AW)
- 1.1.2 Appropriate Operational Equipment (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.2 Major Repairs and Alterations Records (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)
- 1.3.3 Maintenance Facility / Main Maintenance Base (AW)
- 4.1.1 RII Personnel (AW)
- 4.1.2 Maintenance Certificate Requirements (AW)

### ***SUPPLEMENTAL INFORMATION***

**Specific Regulatory Requirement(s) (SRRs):**

- SRRs:

121.135(a)(1)  
121.135(b)(1)  
121.135(b)(2)  
121.135(b)(3)  
121.365(a)  
121.365(b)  
121.365(c)  
121.367  
121.369(a)  
121.369(b)  
121.369(b)(2)  
121.369(b)(3)  
121.369(b)(4)  
121.369(b)(5)  
121.369(b)(6)  
121.369(b)(7)  
121.369(b)(8)  
121.369(b)(9)

**Related CFR(s) & FAA Policy/Guidance:**

- Related CFRs:  
Intentionally left blank
- FAA Policy/Guidance:  
FAA Order 8300.10, Volume 2, Chapter 64  
AC 120-16C

**EPI SECTION 1 – PERFORMANCE OBSERVABLES**

**Objective:** (FAA oversight responsibility): To determine if the Certificate Holder follows its procedures, controls, process measures and interfaces for the Required Inspection Items (RII).

**Tasks**

To meet this objective, the inspector must accomplish the following tasks:

- 1 Review the information listed in the Supplemental Information section of this data collection tool.
- 2 Review the policies, procedures, instructions and information for the Required Inspection Items (RII) process contained in the Certificate Holder's manual.
- 3 Review the associated SAI for this element with emphasis on the controls, process measurements and interface attribute sections.
- 4 Observe the Required Inspection Items (RII) process to gain an understanding of the procedures, instructions and information contained in the Certificate Holder's Manual.
- 5 Discuss the Required Inspection Items (RII) process with the personnel (other than management) who perform the duties and responsibilities required by the Required Inspection Item (RII) process.

**Questions**

To meet this objective, the inspector must answer the following questions:

1. Were the following Performance Measures met:

<p>1.1 Did the Certificate Holder prepare a current designation of Required Inspection Items for maintenance and alteration?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the technical publications library, that a current designation of items of maintenance and alteration that must be inspected was prepared in accordance with the certificate holders design.</li> </ul> <p>Sources: 121.367; 121.369(b); 121.369(b)(2)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.2 Were RII functions performed by qualified individuals?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the technical publications library, that a designation, by occupational title, of personnel authorized to perform each required inspection is in the manual in accordance with the certificate holders design</li> </ul> <p>Sources: 121.367; 121.369(b); 121.369(b)(3)</p> <ul style="list-style-type: none"> <li>• Check, at the air carrier maintenance facility, that the certificate holder prepared and kept a current chart or description of its organization that performs any required inspections in accordance with its design</li> </ul> <p>Sources: 121.133(a); 121.135(a)(1); 121.369(a)</p> <ul style="list-style-type: none"> <li>• Check, at the air carrier maintenance facility, that the certificate holder prepared and kept a current list of persons with whom it has arranged for the performance of any of it's required inspections in accordance with its design</li> </ul> <p>Sources: 121.133(a); 121.135(a)(1); 121.369(a)</p> <ul style="list-style-type: none"> <li>• Check, at the aircraft records repository, that only persons that were</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p>appropriately certificated, properly trained, qualified, and authorized performed required inspections in accordance with the certificate holders design.</p> <p>Sources: 121.135(a)(1); 121.371(a)</p> <ul style="list-style-type: none"> <li>• Check, at the maintenance facility, that a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections is maintained in accordance with the certificate holders design.</li> </ul> <p>Sources: 121.135(a)(1); 121.371(d)</p> <ul style="list-style-type: none"> <li>• Check, at the records repository, that it verified, in accordance with its design, that persons with whom it arranged to perform required inspections (RII) maintained a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections.</li> </ul> <p>Sources: 121.135(a)(1); 121.371(d)</p> <ul style="list-style-type: none"> <li>• Check, at the maintenance facility, that persons performing required inspections are appropriately certificated in accordance with the certificate holders design</li> </ul> <p>Sources: 121.135(a)(1); 121.371(a)</p> <ul style="list-style-type: none"> <li>• Check, at the maintenance facility, that persons performing required inspections hold the appropriate certificate in accordance with the certificate holders design</li> </ul> <p>Sources: 121.135(a)(1); 121.378(a)</p> <ul style="list-style-type: none"> <li>• Check, at the maintenance facility, that persons performing required inspections are authorized in accordance with the certificate holders design</li> </ul> <p>Sources: 121.135(a)(1); 121.371(a)</p>	
<p>1.3 Were required inspections separate from other maintenance actions?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the air carrier maintenance facility, that the performance of RII functions were organized to ensure separation from other maintenance actions in accordance with the certificate holders design.</li> </ul> <p>Sources: 121.135(a)(1); 121.365(c)</p> <ul style="list-style-type: none"> <li>• Check, at the records repository, that the certificate holder verified, in accordance with its design, that outsource maintenance providers, conducting RII functions for it, maintain separation between inspection and other maintenance functions within its organization.</li> </ul> <p>Sources: AC 120–16C par. 6(b)</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.4 When work was improperly done, was it properly rejected by an RII inspector?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>
<p>1.5 Were all RII Inspections performed by persons other than those that accomplished the work?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the aircraft records repository, that no required inspections were performed by the person, who performed the item of work</li> </ul>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No, Explain</p>

Sources: 121.367; 121.135(a)(1); 121.369(b); 121.369(b)(7)	
<p>1.6 Did the Certificate Holder prevent rejected RII's from being countermanded by unauthorized individuals?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the records repository, that no decision of an inspector regarding any required inspection was countermanded by any person other than supervisory personnel of the inspection unit in accordance with the certificate holders design. Sources: 121.367; 121.135(a)(1); 121.369(b); 121.369(b)(8)</li> <li>• Check, at the records repository, that no decision of an inspector regarding any required inspection was countermanded by any person other than a person at that level of administrative control that has overall responsibility for the management of both the required inspection functions and the other maintenance, preventive maintenance, and alterations functions in accordance with the certificate holders design. Sources: 121.367; 121.135(a)(1); 121.369(b); 121.369(b)(8)</li> <li>• Check, at the maintenance facility, through interviews with inspection personnel, that they understand that any decision of an inspector, regarding any required inspection may not be countermanded by persons other than supervisory personnel of the inspection unit or a person at that level of administrative control that has overall responsibility for the management of both the required inspection functions and the other maintenance, preventive maintenance, and alterations functions Sources: 121.367; 121.135(a)(1); 121.369(b); 121.369(b)(8)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.7 Did the Certificate Holder re-inspect rejected items from previous required inspections?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the aircraft records repository, that instructions for re-inspection (buy back procedures) were followed in accordance with the certificate holders design Sources: 121.367; 121.369(b); 121.369(b)(4)</li> <li>• Check, at the aircraft records repository, that required inspection items that had been rejected were re-inspected in accordance with the certificate holders design (buy back procedures). Sources: 121.367; 121.369(b); 121.135(a)(1); 121.369(b)(4)</li> <li>• Check, at the aircraft records repository, that all items that required inspection (RII), were inspected. Sources: 121.367; 121.135(a)(1); 121.369(b); 121.369(b)(6)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.8 Were Required Inspection Items identified on work documents in accordance with the Certificate Holder's policies and procedures?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the technical publications library, that a current designation of items of maintenance and alteration that must be inspected was prepared in accordance with the certificate holders design.</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<p><i>Sources:</i> 121.367; 121.369(b); 121.369(b)(2)</p> <ul style="list-style-type: none"> <li>• Check, at the records repository, that items of maintenance and alteration listed on the current designation of items that must be inspected (required inspections), were inspected in accordance with the certificate holders design.</li> </ul> <p><i>Sources:</i> 121.367; 121.135(a)(1); 121.369(b)(2)</p>	
<p>1.9 Did the Certificate Holder maintain a current and accurate list of all RII Personnel?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the maintenance facility, that a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections is maintained in accordance with the certificate holders design.</li> </ul> <p><i>Sources:</i> 121.135(a)(1); 121.371(d)</p> <ul style="list-style-type: none"> <li>• Check, at the records repository, that it verified, in accordance with its design, that persons with whom it arranged to perform required inspections (RII) maintained a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections.</li> </ul> <p><i>Sources:</i> 121.135(a)(1); 121.371(d)</p> <ul style="list-style-type: none"> <li>• Check, at the maintenance facility, that the certificate holder has an organization for the performance of it's required inspections that is adequate to perform that work</li> </ul> <p><i>Sources:</i> 121.367; 121.135(b)(19); 121.365(b)</p> <ul style="list-style-type: none"> <li>• Check, at the records repository, that the certificate holder verified, in accordance with its design, that each person with whom it arranged to perform required inspections, had an organization adequate to perform that work.</li> </ul> <p><i>Sources:</i> 121.135(b)(19); 121.365(b)</p>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>
<p>1.10 Were the Authorized RII Personnel provided written notification for each person assigned Required Inspection authority?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the records repository, that it verified, in accordance with its design, that persons with whom it arranged to perform required inspections (RII) maintained a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections.</li> </ul> <p><i>Sources:</i> 121.135(a)(1); 121.371(d)</p> <ul style="list-style-type: none"> <li>• Check, at the maintenance facility, that a list of persons, identified by name, occupational title, and the inspections that they are authorized to perform, who have been trained, qualified, and authorized to conduct required inspections is maintained in accordance with the certificate holders design.</li> </ul> <p><i>Sources:</i> 121.135(a)(1); 121.371(d)</p>	<p><input type="checkbox"/> Yes  <input type="checkbox"/> No, Explain</p>

<p>1.11 Did the Certificate Holder maintain a current listing of all Required Inspection Items?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the Technical Publications library, that specific required inspections were developed, controlled and reviewed in accordance with the air carriers design. <i>Sources:</i> 8300.10 Vol. 2, Ch., 64, Sec. 2, Para. 5 D(4)</li> <li>• Check, at the technical publications library, that a current designation of items of maintenance and alteration that must be inspected was prepared in accordance with the certificate holders design. <i>Sources:</i> 121.367; 121.369(b); 121.369(b)(2)</li> <li>• Check, at the records repository, that items of maintenance and alteration listed on the current designation of items that must be inspected (required inspections), were inspected in accordance with the certificate holders design. <i>Sources:</i> 121.367; 121.135(a)(1); 121.369(b)(2)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>1.12 Were the Authorized RII Personnel under the direct supervision of the inspection department while performing all Required Inspection Items?</p> <p><i>Related performance JTIs:</i></p> <ul style="list-style-type: none"> <li>• Check, at the air carrier maintenance facility, through interview, that persons authorized to perform RII understand that he/she is under the supervision and control of the inspection unit while performing an RII (interview process). <i>Sources:</i> 121.135(a)(1); 121.371(b)</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>2 Were the Certificate Holder's policies, procedures, instructions and information, contained in its manual, for the Required Inspection Items (RII) process followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>3 Were the Required Inspection Items (RII) process controls followed?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>4 Did the records for the Required Inspection Items (RII) process comply with the instructions provided in the Certificate Holder's manual?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>5 Were the process measurements for the Required Inspection Items (RII) process effective in identifying problems or potential problems and providing corrective action for them?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
<p>6 Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions and information that are related to this element?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

<b><i>EPI SECTION 1 – PERFORMANCE OBSERVABLES –Drop Down Menu</i></b>
1. Personnel.
2. Tools and Equipment.
3. Technical Data.
4. Procedures, policies or instructions or information.
5. Materials.
6. Facilities.
7. Controls.
8. Process Measures.
9. Interfaces.
10. Desired Outcome.
11. Other.



## **EPI SECTION 2 – MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES**

**Objective:** To determine if the person identified by the Certificate Holder having responsibility and/or authority for the Required Inspection Items (RII) is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

### **Tasks**

To meet this objective, the inspector must accomplish the following tasks:

1 Identify the person that has overall responsibility for the Required Inspection Items (RII) process.

2 Identify the person that has overall authority for the Required Inspection Items (RII) process.

NOTE: If no personnel or major program changes (as defined by the Principal Inspector) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3 – 6 below. Answer questions 2.1 & 2.2 below, and provide the name/title.

3 Review the duties and responsibilities for those who manage the Required Inspection Items (RII) process documented in the Certificate Holder's manual.

4 Review the appropriate organizational chart.

5 Discuss the Required Inspection Items (RII) process with the management personnel identified in Tasks 1 and 2.

6 Evaluate the qualifications and work experience of the management personnel identified in Tasks 1 and 2.

### **Questions**

To meet this objective, the inspector must answer the following questions:

2. Are the following aspects of the Management Responsibility and Authority Attributes addressed in the Required Inspection Items (RII) process:

2.1 Is there a clearly identified person who is responsible for the quality of the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.2 Is there a clearly identified person who has authority to establish and modify the Certificate Holder's policies, procedures, instructions and information for the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title: <input type="text"/>
2.3 Does the responsible person know that he/she has responsibility for the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.4 Does the person with authority know that he/she has authority for the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.5 Does the person with responsibility for the Required Inspection Items (RII) process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

2.6 Does the person with authority to establish & modify the Required Inspection Items (RII) meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.7 Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.8 Does the person with authority understand the controls, process measurements, and interfaces associated with the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.9 Does the responsible person know who has authority to establish and modify the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.10 Does the individual with authority know who has the responsibility for the Required Inspection Items (RII) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

<b><i>EPI SECTION 2 – MANAGEMENT RESPONSIBILITY &amp; AUTHORITY OBSERVABLES –Drop Down Menu</i></b>	
1. Assignment of responsibility.	
2. Assignment of authority.	
3. Does not understand procedures, policies or instructions and information.	
4. Does not understand controls.	
5. Does not understand process measurements.	
6. Does not understand interfaces.	
7. Span of control.	
8. Position vacant.	
9. Other.	